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APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
09/652,360	08/31/2000	Leon Wong	418268758US	4462

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EXAMINER

WIDHALM, ANGELA M

ART UNIT	PAPER NUMBER
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2152

SHORTENED STATUTORY PERIOD OF RESPONSE	MAIL DATE	DELIVERY MODE
3 MONTHS	04/17/2007	PAPER

Please find below and/or attached an Office communication concerning this application or proceeding.

If NO period for reply is specified above, the maximum statutory period will apply and will expire 6 MONTHS from the mailing date of this communication.

Office Action Summary

Application No.

09/652,360

Applicant(s)

WONG ET AL.

Examiner

Angela Widhalm

Art Unit

2152

-- The MAILING DATE of this communication appears on the cover sheet with the correspondence address --

Period for Reply

A SHORTENED STATUTORY PERIOD FOR REPLY IS SET TO EXPIRE 3 MONTH(S) OR THIRTY (30) DAYS, WHICHEVER IS LONGER, FROM THE MAILING DATE OF THIS COMMUNICATION.

- Extensions of time may be available under the provisions of 37 CFR 1.136(a). In no event, however, may a reply be timely filed after SIX (6) MONTHS from the mailing date of this communication.
- If NO period for reply is specified above, the maximum statutory period will apply and will expire SIX (6) MONTHS from the mailing date of this communication.
- Failure to reply within the set or extended period for reply will, by statute, cause the application to become ABANDONED (35 U.S.C. § 133). Any reply received by the Office later than three months after the mailing date of this communication, even if timely filed, may reduce any earned patent term adjustment. See 37 CFR 1.704(b).

Status

- 1) ☒ Responsive to communication(s) filed on 05 February 2007.
- 2a) ☐ This action is **FINAL**. 2b) ☒ This action is non-final.
- 3) ☐ Since this application is in condition for allowance except for formal matters, prosecution as to the merits is closed in accordance with the practice under *Ex parte Quayle*, 1935 C.D. 11, 453 O.G. 213.

Disposition of Claims

- 4) ☒ Claim(s) 30-50 is/are pending in the application.
- 4a) Of the above claim(s) _____ is/are withdrawn from consideration.
- 5) ☐ Claim(s) _____ is/are allowed.
- 6) ☒ Claim(s) 30-50 is/are rejected.
- 7) ☐ Claim(s) _____ is/are objected to.
- 8) ☐ Claim(s) _____ are subject to restriction and/or election requirement.

Application Papers

- 9) ☐ The specification is objected to by the Examiner.
- 10) ☐ The drawing(s) filed on _____ is/are: a) ☐ accepted or b) ☐ objected to by the Examiner.
- Applicant may not request that any objection to the drawing(s) be held in abeyance. See 37 CFR 1.85(a).
- Replacement drawing sheet(s) including the correction is required if the drawing(s) is objected to. See 37 CFR 1.121(d).
- 11) ☐ The oath or declaration is objected to by the Examiner. Note the attached Office Action or form PTO-152.

Priority under 35 U.S.C. § 119

- 12) ☐ Acknowledgment is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d) or (f).
- a) ☐ All b) ☐ Some * c) ☐ None of:
1. ☐ Certified copies of the priority documents have been received.
 2. ☐ Certified copies of the priority documents have been received in Application No. _____.
 3. ☐ Copies of the certified copies of the priority documents have been received in this National Stage application from the International Bureau (PCT Rule 17.2(a)).

* See the attached detailed Office action for a list of the certified copies not received.

Attachment(s)

- 1) ☒ Notice of References Cited (PTO-892)
- 2) ☐ Notice of Draftsperson's Patent Drawing Review (PTO-948)
- 3) ☐ Information Disclosure Statement(s) (PTO-1449 or PTO/SB/08)
Paper No(s)/Mail Date _____
- 4) ☐ Interview Summary (PTO-413)
Paper No(s)/Mail Date. _____
- 5) ☐ Notice of Informal Patent Application (PTO-152)
- 6) ☐ Other: _____

DETAILED ACTION

1. A request for continued examination under 37 CFR 1.114, including the fee set forth in 37 CFR 1.17(e), was filed in this application after final rejection. Since this application is eligible for continued examination under 37 CFR 1.114, and the fee set forth in 37 CFR 1.17(e) has been timely paid, the finality of the previous Office action has been withdrawn pursuant to 37 CFR 1.114. Applicant's submission filed on 5 February 2007 has been entered.

2. This is a non-final office action in response to remarks filed on 5 February 2007. Claims 30, 38, and 46 were amended. No claims were canceled or added. Claims 30-50 are pending.

Response to Arguments

3. Applicant's arguments with respect to claims 30-50 have been considered but are moot in view of the new ground(s) of rejection.

4. Lastly, the use of "authentication methodology" in the claims is very broad. Including more detail explaining what this phrase includes would help to make the claims more specific. As such, examiner interprets "authentication methodology" to include sending a key as described by Shambroom.

Summary of Claimed Invention

5. The claimed invention describes a server first receiving authentication instructions from a controlling client computer system, then receiving a request from a client to access a service provided by the server and lastly authenticating the client for the first time. The invention uses conventional authentication methods, e.g. basic HTTP authentication. In the same field of endeavor, the applied references teach the same.

Claim Rejections - 35 USC § 103

6. The text of those sections of Title 35, U.S. Code 103 not included in this action can be found in a prior Office action.

7. Claims 30-33, 35, 38-41, 43, and 46-49 are rejected under 35 U.S.C. 103(a) as being unpatentable over Shambroom (U.S. Patent 5,923,756) in view of Wood et al. (U.S. Patent 6,691,232), hereafter referred to as Wood.

8. Regarding claim 30, Shambroom disclosed a method in a server computer of authenticating client computer systems, the method comprising:

receiving from a controlling client computer system an instruction that indicates an authentication methodology that is to be used to authenticate a client computer system that is a separate computer system from the controlling client computer system (*The Key Distribution Center 400 sends authentication information to the network server 300 for authenticating client 200, see fig. 3 #354, col. 8 lines 27-44*)

after receiving the instruction and before authenticating the client computer system, receiving a request from the client computer system to access a service of the server computer system (*Client sends a request to the destination server 500 prior to authorization*, see fig. 3 #358, col. 9 lines 1-9); and

upon receiving the request from the client computer system to access a service of the server computer, initially authenticating the client computer system using the indicated authentication methodology (*The client is authenticated before being connected to the destination server*, see fig. 3 #360, #362, #364, col. 9 lines 15-45).

Shambroom did not explicitly disclose wherein the authentication methodology being selected from multiple authentication methodologies based on authentication abilities indicating authentication methodologies that the client computer supports and access rights of the client computer system to access resources, however in a related art, Wood disclosed presenting a user with suitable authentication schemes and allowing the user to select one (see col. 11 lines 36-41). An authentication scheme is deemed suitable when it meets or exceeds the required trust level in the current environment (see col 11 lines 14-23, 31-33). It would have been obvious to one of ordinary skill in this art at the time of invention to incorporate Wood's choice of authentication methodologies into Shambroom's authentication system to provide more details on how a user should be authenticated and thereby further improve system security (see Shambroom col. 3 lines 33-35, col. 4 lines 46-61).

Art Unit: 2152

9. Regarding claim 31, Shambroom-Wood disclosed the instruction indicates that multiple authentication methodologies can be used to authenticate the client computer system and wherein the client computer system is authenticated using one of the indicated authentication methodologies (see Wood col. 11 lines 30-67).

10. Regarding claim 32, Shambroom-Wood disclosed the instruction indicates that the authentication methodology is to be used to authenticate multiple client computer systems and wherein the multiple client computer systems are authenticated using the indicated authentication methodology (see Wood col. 7 lines 35-40 *plurality of client systems authenticate with the gatekeeper/entry handler component 110*).

11. Regarding claim 33, Shambroom-Wood disclosed the instruction indicates multiple authentication methodologies can be used to authenticate multiple client computer systems and wherein the multiple client computer systems are authenticated using one of the indicated authentication methodologies (see Wood col. 7 lines 35-40; col. 11 lines 30-67; *the user/client is allowed to choose credential types to be used to authenticate to the server, all the users can use a particular method of authentication, i.e. certificate authority*).

12. Regarding claim 35, Shambroom-Wood disclosed the authentication methodology is a basic HTTP authentication (see Wood col. 12 lines 25-30).

Art Unit: 2152

13. Regarding claims 38-41 and 43, the claims are rejected for the same reasons as the rejections to claims 30-33 and 35 above respectively.

14. Regarding claims 46-49, the claims are rejected for the same reasons as the rejections to claims 30-33 above respectively.

15. Claims 34, 36-37, 42, 44-45, and 50 are rejected under 35 U.S.C. 103(a) as being unpatentable over Shambroom-Wood as applied to claims 30, 38, and 49 above, further in view of AAPA (Applicant Admitted Prior Art).

16. Regarding claim 34 and 42, Shambroom-Wood disclosed the invention, substantially as claimed, as described in claims 30 and 38, but did not explicitly disclose an assertion authentication.

However, AAPA disclosed assertion methodology is a way of authenticating between client and server (see for example AAPA specification pg 3 lines 1-3). It would have been obvious to one of ordinary skill in this art at the time of invention to combine the teachings of Wood-Lim and AAPA because the teaching of AAPA to allow assertion would improve the trust in between the two systems, as both sides agree to trust each other initially. Furthermore, Shambroom-Wood's system supports plurality of authentication methodologies, it would have been obvious to incorporate assertion methods with Shambroom-Wood to improve the functionality of Shambroom-Wood by allowing for more choices for authentication.

Art Unit: 2152

17. Regarding claims 36 and 44, Shambroom-Wood disclosed the invention, substantially as claimed, as described in claims 30 and 38, but did not explicitly disclose digest authentication. However, AAPA disclosed a digest method (see for example pg 3 lines 10-22). It would have been obvious to one of ordinary skill in this art at the time of invention to combine the teachings of Shambroom-Wood and AAPA, the rationale to combine is discussed in claims 34 and 42 above.

18. Regarding claims 37 and 45, Shambroom-Wood disclosed the invention, substantially as claimed, as described in claims 30 and 38, but did not explicitly disclose an NTLM authentication. However, AAPA disclosed NTLM authentication method (see for example pg 3 lines 23-24). It would have been obvious to one of ordinary skill in this art at the time of invention to combine the teachings of Shambroom-Wood and AAPA, the rational to combine is discussed in claims 34 and 42 above.

19. Regarding claim 50, the claim is rejected for the same reasons as the rejection to the combination of claims 34-37 and 42-45 above.

Conclusion

20. **Examiner's Note:** Examiner has cited particular columns and line numbers in the references applied to the claims above for the convenience of the applicant.

Although the specified citations are representative of the teachings of the art and are applied to specific limitations within the individual claim, other passages and figures

Art Unit: 2152

may apply as well. It is respectfully requested from the applicant in preparing responses, to fully consider the references in entirety as potentially teaching all or part of the claimed invention, as well as the context of the passage as taught by the prior art or disclosed by the Examiner.

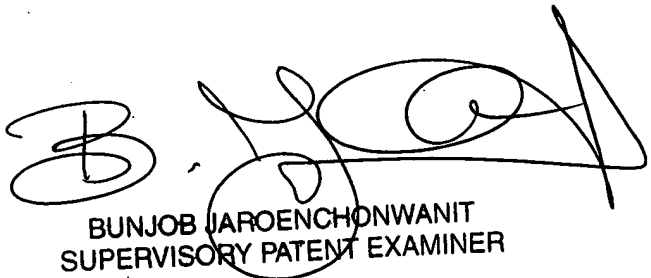
In the case of amending the claimed invention, Applicant is respectfully requested to indicate the portion(s) of the specification which dictate(s) the structure relied on for proper interpretation and also to verify and ascertain the metes and bounds of the claimed invention.

21. Any inquiry concerning this communication or earlier communications from the examiner should be directed to Angela Widhalm whose telephone number is (571) 272-1035. The examiner can normally be reached M-F, 9:00 am - 5:30 pm. If attempts to reach the examiner by telephone are unsuccessful, the examiner's supervisor, Bunjob Jaroenchonwanit can be reached on (571) 272-3913. The fax phone number for the organization where this application or proceeding is assigned is (571) 273-8300.

Art Unit: 2152

Information regarding the status of an application may be obtained from the Patent Application Information Retrieval (PAIR) system. Status information for published applications may be obtained from either Private PAIR or Public PAIR. Status information for unpublished applications is available through Private PAIR only. For more information about the PAIR system, see <http://pair-direct.uspto.gov>. Should you have questions on access to the Private PAIR system, contact the Electronic Business Center (EBC) at 866-217-9197 (toll-free). If you would like assistance from a USPTO Customer Service Representative or access to the automated information system, call 800-786-9199 (IN USA OR CANADA) or 571-272-1000.

Angela Widhalm
Examiner
Art Unit 2152
4 April 2007



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SUPERVISORY PATENT EXAMINER